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ABSTRACT

This report, the seventh in a series from the Value for Money Steering Group, identifies the key management issues for governors, senior managers, and heads of security services at institutions of higher education in the United Kingdom in developing and reviewing security services to ensure that they are effective and provide value for money. Important security matters relating to students and staff are also identified. Each year an estimated sum of 122 million British pounds is spent on security in the United Kingdom higher education sector. The report is based on a study carried out with the involvement of representatives of 95 universities and colleges and a number of organizations across the United Kingdom. Evidence was drawn from a survey, expert working groups, and examples of good practice. Companion volumes published separately contain practical guidance for important security issues and concerns. The study recommends developing a strategy that takes account of risks, the need to balance technology and other resources, the overlap with other areas, the implementation of operational plans and budgets, and legislation and good practice guidelines. Clear channels of education, adequate training and support, periodic reviews, and successful collaboration with other institutions are all essential for the development of security services. Four attachments (annexes) provide background, describe the membership of steering groups and staff, list participating institutions, and set forth a good practice framework. (SLD)

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June 2002/30

The UK Value for Money Steering Group

Management of security services in higher education

National report

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Value for Money Initiative

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Management of security services in higher education

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Foreword

Security is an important management issue for all higher education institutions, both for the safety and security of students, staff and visitors, and because of the potential damage to institutions' reputations as a result of crime-related incidents.

A survey undertaken as part of this study indicated that a conservative estimate of the direct cost of crime to the UK higher education sector was around £40 million for 2000-01. These losses were not always fully recovered from institutions' insurers. The 'Student living report 2002' (UNITE) states that 'the main crimes students are victims of continue to be car theft or vandalism, theft from their house or flat and having their purse or bag stolen. A quarter of students have personally been a victim of crime during their time at university, increasing to a third among students in their third or subsequent years, and almost two-fifths of postgraduates.'

All institutions endeavour to create a 'feel good' factor, enabling staff, students and visitors to carry out their activities without unnecessary pressures, both during and outside normal working hours. Students, staff and visitors should contribute to that environment, by their own conduct and actions. Like health and safety, security is a responsibility that must be shared by all.

The findings of the study are that institutions ought to consider adopting a strategic approach to security, as part of a wider remit for managing all identified risks, and obtaining value for money from limited resources. This approach will need to be supported by other measures for security services and staff, such as training and developing effective procedures and ensuring the dissemination of management information.

Some institutions will already be using some or many of the management techniques, tools, ideas and solutions included in the guidance provided; others will be able to select the ideas and approaches that will work in their institution.

This is the seventh report in a series from the Value for Money Steering Group. The group continues to produce reports to address management concerns, providing information 'by the sector, for the sector'.

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Executive summary

Introduction

This report identifies the key management issues for governors, senior managers and heads of security services in developing and reviewing security services, to ensure that they are effective and provide value for money. Important security matters relating to students and staff are also identified. Each year, an estimated £122 million is spent on security in the UK higher education sector.

The report is based on a study carried out with the involvement of 95 universities and colleges and a number of organisations across the UK. Evidence was drawn from a survey, expert working groups, and examples of good practice. The companion documents, the *Security toolchest* and *Case studies and cameos*, contain practical guidance and examples of solutions to important security issues and concerns. Both are available on the web at www.aucso.org.uk. They aim to help institutions to identify and implement their own management solutions.

Key findings

Good security services not only help to prevent crime, but they also contribute to a positive image of the institution by creating a safe and welcoming environment for students, staff, business and community partners, and visitors. This role needs to be recognised, supported and integrated with other support services. Good security services operate with the understanding and backing of all, both customers and stakeholders.

To achieve this, the study recommends:

- developing a strategy that takes account of:
  - an assessment of risks to the institution's activities, students, staff and visitors
  - the need to balance technology and other resources
  - the overlap with other areas such as estates, space management, event management and IT
  - the implementation of operational plans and budgets
  - legislation and good practice guidelines
- establishing clear channels of communication, so that security issues are considered at the highest level within the institution

- defining management responsibility for security
- introducing service standards for internal and external providers
- providing staff training
- collecting and disseminating management statistics to inform decision making, and publishing an annual security report
- documenting all security procedures (including risk assessment, and major emergencies management plans)
- conducting periodic reviews to support continuous improvement for security and allied support services
- working with other institutions and other agencies to pool ideas and resources.

Conclusion

The response of security staff to all security-related incidents and requests needs to be continually customer focused. Security services, in conjunction with other services, support the provision of a stimulating and supportive environment for students, staff, visitors, and business and community partners. The existence of such an environment is important to the delivery of the institution's core business objectives in a cost-effective way.

1. Security arrangements in the HE sector

Introduction

This section provides an overview of existing security services, based on the contributions of the expert working groups, and the results of a data survey.

The management responsibility for security could fall under any of the following service divisions: estates, facilities management, finance, personnel, or the office of the registrar and secretary.

Security staff help maintain a safe and secure environment for all, by providing a continuous presence 365 days a year, 24 hours a day. Security staff duties cover more than 2.8 million staff and students, as well as visitors; and they are provided by over 6,000 security staff. Their responsibilities often include mail, porter and messenger services; traffic management; and greeting visitors.

The survey results show broad trends under the following headings:

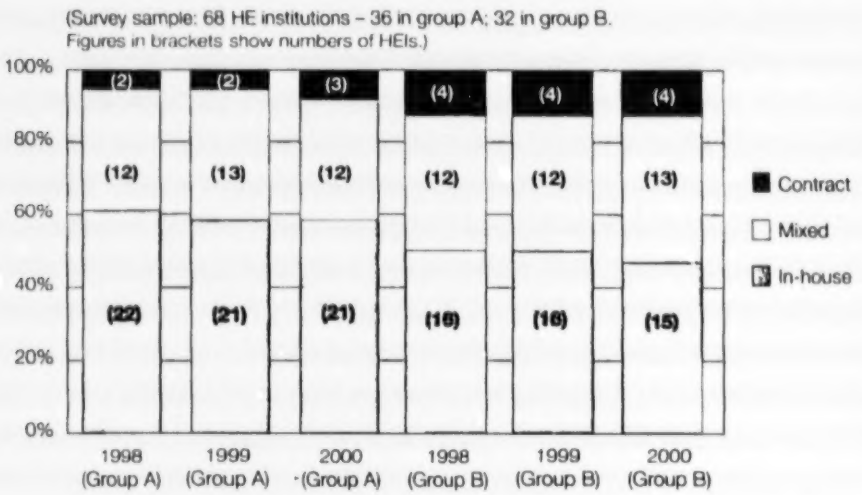
- procurement methods
- costs
- reported incidents.

They are analysed below into two risk groupings: group A (institutions which are in Endsleigh Insurance groups 1 to 6 – lower to medium risk categories) and group B (institutions in Endsleigh Insurance groups 7 to 13 – medium to higher risk categories). Further details on the survey are in Annex A.

Procurement methods

There was no significant change in service delivery over the three-year period for either group A or B (see Figure 1). The most common approach to delivering security services was through a dedicated in-house team. These accounted for over half the security service arrangements in the survey (60% of group A and 50% of group B). Overall, less than 15% of the institutions surveyed contracted out their security services completely. The total number of replies received was 36 institutions for group A, and 32 for group B.

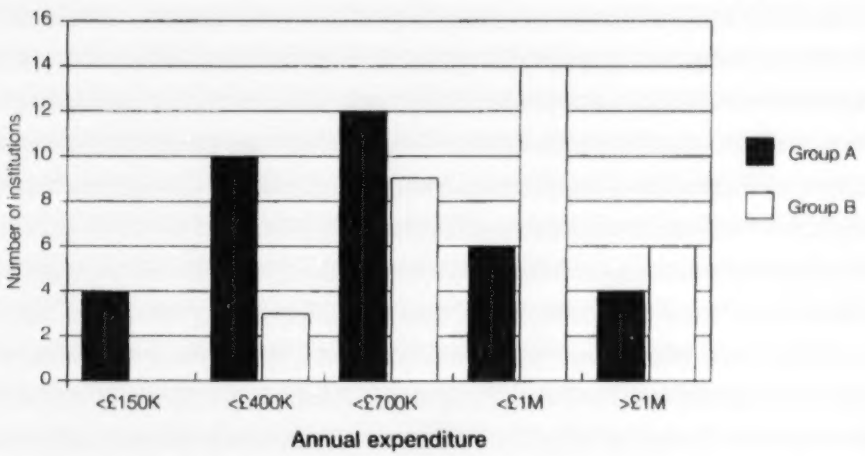
Figure 1 **Procurement of security services: 1997-98 to 1999-2000**



Costs

For the year 1999-2000, just over 60% of the institutions in group A spent between £150K to £700K per annum on security (ie, both revenue and capital); whereas for group B, just over 70% of institutions spent between £400K and £1M annually (see Figure 2).

Figure 2 **Total cost of security – revenue and capital: 1999-2000**



The total revenue and capital spend by group A (36 institutions) increased from £18M (1997-98) to nearly £22M (1999-2000). The figures for group B (32 institutions) are just under £24M for 1997-98 to over £27M in 1999-2000.

Using a simple extrapolation, the figures for the higher education (HE) sector as a whole (approximately 169 institutions) indicate an approximate total spend of:

1997-98 £104M (0.90% of HE sector income of £11.6 billion)

1998-99 £112M (0.93% of HE sector income of £12.1 billion)

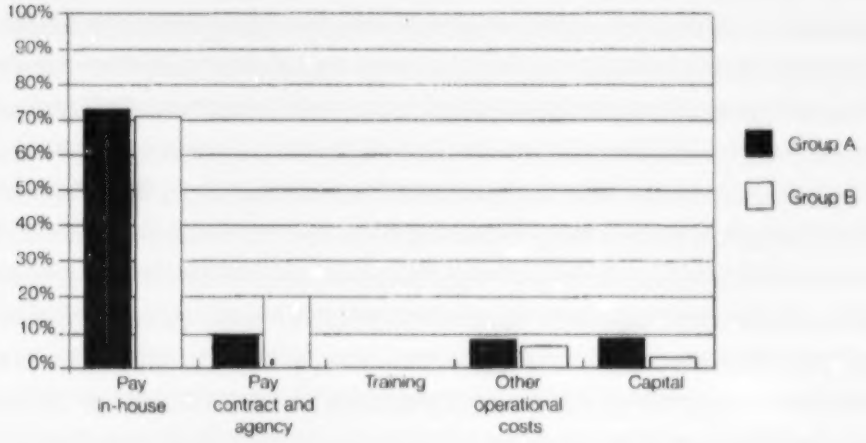
1999-2000 £122M (0.95% of HE sector income of £12.8 billion).

This appears to show that the increase in the total investment in security services by UK higher education institutions (both revenue and capital) has risen steadily as a percentage of the total HE sector income during this period. The increase in the total investment in security services also compares favourably to increases in the general level of inflation, and the changes in security incidents shown in Figure 6.

Analysis of costs

The survey asked institutions for details of in-house pay, contract/agency staff costs, other operating expenses, security staff training, and security capital expenditure (see Figure 3). Some had problems analysing their expenditure in this way. For example, some institutions only had details of externally provided courses as no charge is made for centrally funded external and in-house training. Although not shown in Figure 3, the training costs identified by the survey were less than 1% of the total revenue and capital costs reported for groups A and B, in 1999-2000. Similarly, for capital expenditure, some institutions were only able to identify specific security measures. Other capital expenditure that might relate to security formed part of the total cost of major capital and refurbishment projects and was not available separately. Finally, because institutions have different accounting policies for depreciation and expenditure not capitalised, it was difficult to compare 'other operating expenses'. These difficulties in analysing costs mask the true cost of security to the HE sector, which is almost certainly much higher than the estimate of £122 million shown above for 1999-2000.

Figure 3 **Analysis of security costs: 1999-2000**



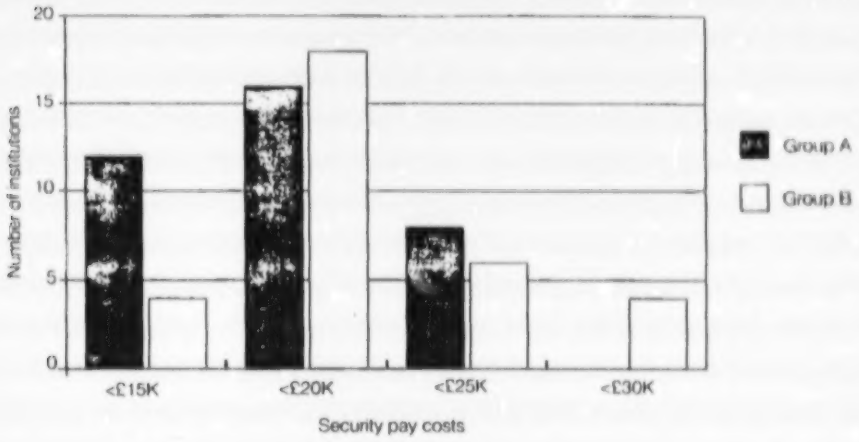
Subject to the caveats above, the analysis (see Figure 3) indicates that most security expenditure related to direct pay costs. As a rule of thumb, Croner's Practical Premises Security indicates that the gross pay for security staff should be between 60 and 70% of the total charge, depending on the duties performed.

Factors impacting on the percentage of total pay costs to the total costs of security service provision, differentiating between in-house and contract provision, are varied. These could include more staff, higher pay, special allowances or other employment costs, longer hours, or a wider range of duties undertaken. The relevant cost components for other operating costs and equipment used by external security providers are not known.

Security costs per institution member and security staff

In 1999-2000, 16 (44%) of the institutions in group A paid between £15K and £20K as a gross annual salary to security staff; for the same salary band, the corresponding figure was 18 (56%) of the institutions in group B (see Figure 4).

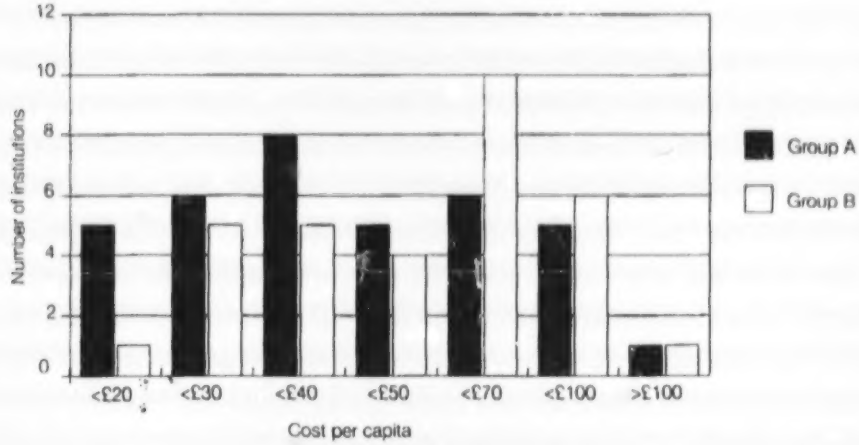
Figure 4 **Pay costs per member of security staff: 1999-2000**



For group A institutions, the median annual salary for security staff was £17,290 during 1999-2000. The corresponding figure for group B institutions was £17,857 per annum. These figures exclude on-costs, such as training, equipment and other costs. Croner's Practical Premises Security indicates that the total annual cost for providing a 24-hour post should be between £16,000 and £18,400 per security staff (excluding on-costs assumed at 25 per cent of salary). This equates to an approximate annual cost of £48-55,000 for three people, each working a 12-hour shift. Croner also indicates that for an external contractor to provide an adequate response, the staffing level could increase to four people per post.

In Figure 5, the total security cost per capita (students and staff combined) is shown. For group A, eight institutions (22%) invest between £30 and £40 per capita in security services; whereas the corresponding figures for group B were ten institutions (31%) and £50 to £70 per capita respectively in 1999-2000.

Figure 5 **Total security cost per capita (students and staff combined): 1999-2000**



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The variations in the survey data shown above suggest that there is some scope for institutions to review the activities of their security services. This would be informed by the collection of management statistics, with trend analysis and comparison with other HEIs for benchmarking purposes. Any savings in costs could be reinvested in security technology and other security initiatives, as required.

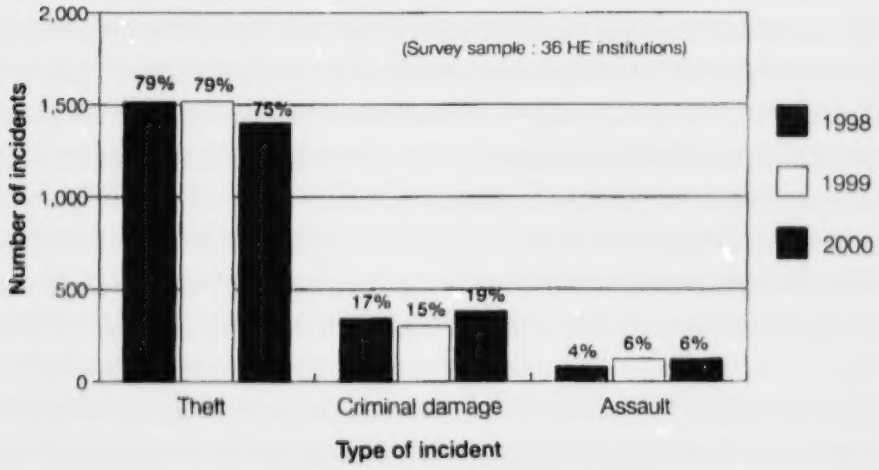
Reported security incidents

As part of an earlier survey, HE institutions were requested to provide an analysis of the total number of reported security incidents relating to theft, criminal damage and assault. Unfortunately, only 36 institutions were able to provide this data.

The total number of security incidents reported by these institutions was 1,923, 1,996 and 1,789 for each of the years 1997-98, 1998-99 and 1999-2000 respectively, during the three-month period September to November.

Figure 6 indicates the percentage split between theft, criminal damage and assault for each year. These results were broadly considered against the much wider findings of the latest British Crime Survey (BCS, October 2000) conducted by the Home Office. The results for the year 1999-2000 indicate that theft accounted for 75% of the total number of reported incidents (whole of UK: 59%), and for criminal damage these were 19% (whole of UK: 19%). The number of incidents involving assault remained unchanged from 1998-99 and accounted for 6% (whole of UK: 22%) of all reported security incidents.

Figure 6 Reported security incidents during September to November 1997-98 to 1999-2000



This equates to 14 incidents of theft, three of criminal damage and one assault per month – on average for each institution within the survey sample.

The above results underpin the overall message of this study that security is an important management issue for all higher education institutions. A key concern must be for the safety and security of students, staff and visitors to institutions, together with awareness of the potential damage as a result of crime-related incidents.

Institutions ought to consider adopting a strategic approach to security, as part of a wider remit for managing all identified risks, and obtaining value for money from limited resources.

2. Developing a strategic approach

A strategy that integrates policies on personal safety and security will help institutions to provide an effective security service and obtain better value for money. Specifically, a formal strategy should:

- support the institution's corporate objectives
- help create a safe environment for staff, students, visitors and the wider community
- ensure that security issues are considered by senior management
- target expenditure at agreed priority areas
- contribute to effective risk management
- develop expertise for integrating new security technology
- provide qualitative and quantitative management statistics (expressed, for example, per capita)
- undertake periodic reviews (eg, to respond proactively to changes in the campus environment, crime patterns, procurement processes and so on).

The strategic framework needs to be supported by service level standards/agreements, underpinned by adequate financial, physical and staffing resources, and staff training. An outline strategy is included in the *Security toolchest* (Appendix 1 to Annex C). Issues relating to the development of a security strategy are considered in the *Case studies and cameos*.

This section identifies some of the issues and responsibilities for security within the institution for the following groups:

- governing committees (Section 2.1)
- senior management team (Section 2.2)
- heads of security services (Section 2.3)
- students and staff (Section 2.4).

Management reviews

Institutions will want to consider the best way to review their security services and to implement the resulting recommendations. Overall responsibility for reviews may fall to a governing committee, or to a senior member of the management team. It may involve the institution's professional advisers and security staff; or a small

working group could be created. The formulation of short-term 'swap/loan' schemes of experienced security managers between HE institutions – to act as independent security consultants/experts – could also be considered.

Good practice framework

The self-assessment checklists at the end of each section are designed to help institutions to review their present arrangements and prioritise the actions identified, as part of a management action plan.

Under Annex D, core security arrangements that represent generic good practice principles (including any issues for smaller institutions) are listed for further consideration by senior management teams and their advisers.

2.1 Governing committees

The governing committee, in conjunction with the senior management team, will seek confirmation that appropriate systems are in place.

Collaboration and liaison

By collaborating internally and externally, institutions can make use of a variety of resources and ideas to improve security and combat crime. Such partnerships are more effective if they have the commitment and involvement of senior managers.

Internally, collaboration will involve security services, students and staff. Externally, it can include liaison and joint initiatives with the local police and other emergency services, the local community, local authorities, hospital trusts, and local business groups. One approach is for the institution to be represented by security staff on local liaison committees.

HEIs should also be aware of government-funded initiatives, including:

- Home Office initiatives, such as the Safe Car Parking Award
- National Campus Watch schemes
- Crimestoppers UK.

Some HEIs have worked with local authorities, hospitals and further education (FE) colleges to raise the matched funding required in bids for Home Office initiatives.

Further examples of collaboration between HEIs and other organisations to address crime on and off campus are given in the *Security toolchest*.

Responsibilities

The institution will also wish to consider who is responsible for the following strategic matters:

- co-ordinating the security strategy with other policy documents, such as the institution's corporate strategic plan, the estates strategy, 'green' transport and environmental policies
- risk management, including security and health and safety issues, and the formation of appropriate policies and plans
- periodic reviews of security arrangements.

Reviews can be conducted through providing:

- periodic reports to the committee
- an annual report on progress against the security policies and plans
- management statistics on security services, including benchmarking, to inform the management team about the effectiveness of the present security arrangements and what needs to be improved.

Self-assessment checklist: governing committees

- Has the institution developed and implemented a strategic policy for security that reflects, and is reflected in, its corporate strategic plan?
- What arrangements does the institution have to review its security? Are annual reports made available to members of the governing committee?
- How has the institution integrated its security strategy with its risk management arrangements?
- How has the institution integrated its security strategy with its health and safety policy?
- How has the institution integrated its security strategy with other internal strategic policy documents, such as the estates strategy?
- Does a member of the senior management team have overall delegated executive responsibility for the institution's security services?
- Does the institution collaborate with students and staff and with external agencies to improve security and combat crime? What arrangements are in place, and is their effectiveness periodically assessed by the institution's senior management team?
- Has the institution identified key performance indicators/results for its security services?

2.2 Senior management team

Key roles for the senior management team are to determine the objectives for the institution's security services, and to identify and manage the risks that could prevent achievement of those objectives.

Risk management

Security is an important part of the institution's approach to managing a wide range of risks. Good risk management provides upward assurance from business activities and administrative functions, from departments to faculties, to the senior management team and ultimately to the governing committee. It can be used to complement the institution's business planning and resource allocation processes at strategic or intermediate levels. Risk management is not a process for avoiding risk, but it can demonstrate that the risks have been identified, are well managed and that the exposure to risk is both understood and acceptable.

Guidance on the issues and processes is published in *Risk management: a guide to good practice for higher education institutions* (HEFCE 01/28, May 2001).

Assessing risk and priority

Procedures for assessing and prioritising security risks should be aligned to those for health and safety. The nature, level and priority of each risk should be determined in accordance with agreed definitions in a risk management policy. The procedures should:

- enable all identified risks to be prioritised
- allow different groups of risk/priority to be formed, so that management actions can be co-ordinated
- ensure that resources are assigned to manage agreed risks and priorities
- enable similar (and related) risks to be collated for management reporting to inform management actions/solutions/responses.

Insurance

Insurance is one way of transferring risk, but most risk will be managed by other means. In consultation with professional advisers, the institution determines the level of insurance cover to be provided.

The head of security has a role in reviewing insurance cover, and should be informed of any insurance losses. At some institutions, the head of security meets the insurance company representative as part of an annual or biennial review of security measures. In a number of cases, this has led to a reduction in insurance premiums. At other institutions, insurers have provided funding to facilitate the implementation of risk management measures.

Links with core activities and other support services

Security needs to be co-ordinated with other support services in the institution, such as estates, IT, personnel, recruitment, learning resources, health and safety and so on. Guidance is contained in *Facilities management – improving the management of support services in higher education* (HEFCE 00/14, March 2000).

Institutions that have adopted a facilities management approach have started by identifying the key support services and the connections between them. Table 1 shows how such an analysis could apply to security services. This is neither exhaustive nor prescriptive.

Table 1 **Examples of links between security and other services, and aspects for improvement**

Related service	Aspects that could be improved by better co-ordination
Academic resources	Protection of research and teaching facilities
	Provision of advice to heads of departments and others
Space management	Access control
	Protection of assets
	Circulation/traffic monitoring
	Safety of students, staff, and visitors
Estates	Security by design
	Landscaping and lighting
	Building maintenance
	Better energy management
	Provision of advice to estates' staff, professional advisers (such as architects) and others
Event management	Personal safety of conference guests and event staff
	Security vetting of event staff and contractors
	Directing visitors
	Car parking and traffic management

Devolving security budgets

Some institutions may devolve responsibility and budgets for security to heads of department. In such cases it is important for heads of department to have access to advice from the head of security and others on, for example:

- measures to protect students and staff
- actions to safeguard the department's teaching and research facilities and resources
- procedures for dealing with the consequences of crime
- health and safety
- regulations on the use of CCTV
- data protection legislation
- total expenditure (both revenue and capital) on security measures, at central and departmental levels.

Management responsibility for security

The senior management team should ensure that security is considered at the highest level. At some institutions, the head of security has direct access to a senior member of the management team, such as a pro vice-chancellor or the secretary/registrar.

The head of security should be involved in strategic decisions and policy-making on security, as well as managing the tactical and operational aspects of the service.

Self-assessment checklist: senior management team

- Does a member of the senior management team have overall executive responsibility for the institution's security services?
- How has the institution integrated its security strategy with its risk management arrangements?
- How has the institution integrated its security strategy with its health and safety procedures?
- Is the senior management team provided with management statistics covering the performance of security services?
- Does the head of security have access to a member of the senior management team? How have effective lines of communication been established?
- How does the institution ensure that heads of department have access to timely advice on security?

- How does the institution ensure that security services are integrated with other support services?
- What are the arrangements to undertake periodic reviews of security? Are annual reports made available to members of the governing committee?
- What formal procedures have been implemented to assess risks for security? For example, have specific risks, such as acts of terrorism and the impact of major disruptions, been considered and appropriate actions taken? (This will include the implementation of appropriate physical security measures, and collaboration with the relevant authorities and emergency services in sharing information concerning the activities/actions of groups and individuals who present a security threat to the institution – its students, staff and activities.)
- Are procedures in place to tell staff what to do in an emergency?

2.3 Heads of security services

It is important that institutions identify the skills and experience they require of their head of security, to help maximise the benefits to the whole institution from the security service.

Strategic role

In addition to their management reponsibilities for security operations, the head of security should have a role in:

- formulating the security strategy
- developing supporting policies on risk management, staff training and recruitment, access to campus buildings, security by design, and technology such as CCTV
- supporting funding bids that are linked to the delivery of agreed service level standards.

Recruitment and retention of security staff

The quality of security services depends upon the calibre of the staff. Security officers often undertake reception duties, so are responsible for visitors' first impressions of the institution. Many security staff also undertake a pastoral role, by providing a 'first response or point of contact' for an increasing number of students living in halls of residence, who need support for physical and psychological problems.

Some HEIs have found it difficult to recruit staff because of competition within the local labour market. Sickness and leave of absence are also of concern for some institutions. It is therefore important that the role played by security staff is clearly recognised within the institution, and supported by training.

For guidance regarding the development of human resource strategies please see *Rewarding and developing staff in higher education: a guide to good practice in setting HR strategies* (HEFCE 02/14, March 2002).

Training

Training should help promote both a positive image of the institution and the morale of security staff themselves. Aspects to be covered include the institution's approach to customer care, specific tasks and

responsibilities, current legislation, and good practice guidelines. This may be done through an induction for new staff. In some HEIs, it takes the form of mentoring in the first few weeks, with subsequent discussions with their line manager regarding progress.

Both work-based and formal training courses are provided within the HE sector, and by the Security Industry Training Organisation (SITO). The Association of University Chief Security Officers (AUCSO) is considering training schemes to cover all grades of security staff in HE. It has set up a sub-committee to develop specific proposals. Membership of AUCSO enables institutions to gain access to best practice in security management.

Procurement of security services

The procurement of security services covers both in-house and contracted providers. A number of factors affect the institution's approach to managing procurement (see the *Guidance on the procurement of services* published by the Joint Procurement Policy and Strategy Group, September 2000, on the web at www.jppsg.ac.uk/handbook/pub/services.pdf). Within that report Appendix 3, 'In-house services: demonstrating value for money', is particularly relevant.

The institution should identify the criteria and standards it requires for security services. One method is to develop service level standards (SLSs) for internal service providers, and service level agreements (SLAs) for external service providers, to support agreed objectives. Specifications and SLS/SLAs should include the following:

- stakeholders' requirements
- procedures to be followed by the service provider
- consultation with stakeholders and service providers
- specified operational standards
- measures of outputs and performance
- payment arrangements.

Management statistics

The head of security has a role in developing and compiling management statistics on security, which might involve exchanging information with other HE/FE institutions. Further details on management statistics are contained in the *Security toolchest*.

Self-assessment checklist: heads of security services

- How are training plans updated to meet the continuing needs of security staff – new and existing?
- Has the institution considered service level statements (for internal providers) and service level agreements (for external providers)?
- What documented service standards for security staff have been implemented?
- Are the terms and conditions of employment for security staff subject to review?
- What are the arrangements to review security services, whether in-house or contracted?
- Can security staff rotas be flexed as necessary, to respond to the institution's crime profile (ie, so that the number of security staff on duty can rise and fall in line with potential security risks/incidents)?
- What arrangements are there to cover for security staff during training, holidays and other absences?
- Are there arrangements in place to cover the absence of 'key' security staff?
- What management statistics for security services have been developed? How are these disseminated within the institution?

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2.4 Students and staff

Security, like health and safety, is the responsibility of all members of the institution. This can be made explicit through a clear statement of personal responsibilities for staff and students. One option is to introduce identification (ID) cards for all staff, students and visitors.

Personal safety, crime awareness and prevention

A number of higher education institutions (HEIs) issue advice to staff and students on safety and the prevention of crime. This may include: presentations by the head of security during 'Freshers' Week', one to one counselling, showing personal safety videos, and issuing crime awareness leaflets.

Some institutions have appointed campus police officers, introduced schemes to escort students late at night, installed emergency help lines, and created security web pages. Initiatives such as the national Campus Watch schemes, Security by Design and Safe Car Park awards have been part-funded by the Home Office. Institutions should assess the effectiveness of all measures to improve awareness and prevention of crime, and if necessary consider adopting a different approach.

Student surveys

Some institutions have surveyed students about security services and the perception of crime, both on and off campus. Surveys were felt to be an effective way of gauging the feelings of students and raising awareness of crime. However, there is a risk that they might promote a disproportionate fear of crime among students and staff, so surveys and feedback of the results should be managed carefully.

Self-assessment checklist: students and staff

a) Institution

- What Home Office or other initiatives have been considered? Which have been implemented and proved to be effective?
- Are students and staff advised on the implications of current legislation, for example the Data Protection Act 1998?
- How have student surveys been used to inform the security services provided by the institution?

- Has the institution introduced a statement of responsibilities for staff and students regarding personal safety and crime awareness? This might include asking all staff and students to wear ID cards.
- How do security arrangements enable non-security staff to support crime awareness and prevention schemes?

b) Students

- Have you attended a personal safety and crime awareness session organised by your institution's head of security?
- Has the institution explained how your actions can help provide a safe and secure environment for all?
- If the institution has ID cards for students, do you wear yours?
- Have you received guidance on protecting and insuring your personal property, including laptops, cars and bicycles?
- Have you received guidance on security measures in private rented accommodation?
- If travel abroad is part of your studies, have you received guidance on travelling safely?
- Do you know what to do about reporting security incidents?

c) Staff

- Has the institution explained how your actions can help provide a safe and secure environment for all?
- If the institution has ID cards for staff, do you wear yours?
- Have you received information on the insurance and security of personal property?
- Have you received advice on personal safety when working alone, car parking and so on?
- If you travel abroad on behalf of the institution, have you received guidance on travelling safely?
- Have you received information on reporting security incidents?

Annex A: Background to the study

The security management study is one of a series that consider delivery arrangements for specific services. It is the seventh conducted under the auspices of the UK Value for Money (VfM) Steering Group. The objective is to produce practical outcomes for handling management issues of concern to higher education institutions (HEIs).

By involving HEIs, the study embodies an approach encapsulated in the phrase 'by the sector, for the sector'.

Outputs of the study

This *National report* is one of three publications arising from the study. The second companion document is the *Security toolchest*, which provides the tools HEIs need to review their management arrangements for security services. It aims to enable institutions to identify and implement their own management solutions.

In addition to the guidance given in the *Security toolchest*, case studies of good practice in the HE sector and elsewhere to highlight opportunities for institutions to achieve value for money are included in the third document, *Case studies and cameos*. Institutions may also find these helpful as a training aid for security staff and others in developing their management approach.

Both the *Security toolchest* and the *Case studies and cameos* are available on the web at www.aucso.org.uk

Scope and format of the report

The security management study reinforces the recommendations of the facilities management study (HEFCE 00/14, March 2000), principally the closer alignment of support services to core business activities, and the identification of synergies with other support services. It does not cover the following:

- risk management – see *Risk management: a guide to good practice for HEIs* www.hefce.ac.uk/GoodPrac/ (HEFCE 01/28, May 2001)
- security of data – see *Information systems & technology management: National Report and Management Review Guide* www.hefce.ac.uk/GoodPrac/ (HEFCE 98/42 and 98/43, September 1998)
- evaluation of security systems and equipment – a complex area that is constantly changing; institutions' security requirements are best determined locally.

Involvement of the HE sector

This study has been carried out with support and assistance from the HE sector. Visits to HEIs helped to determine the scope and opportunities for the study. Other institutions agreed to:

- provide information on the security arrangements at their institution
- share examples of their experience and good practices in security that could be reflected in the report
- identify issues that are likely to be of strategic, tactical and operational importance over the next three years, to be included in the report.

Expert working groups and a project management committee were formed to consider the matters raised. Sector organisations also participated by commenting on the issues. The project staff are grateful to all those that have taken part.

Security survey

A survey was undertaken of security service arrangements in HEIs. The sample consisted of 91 HEIs (54% of the total in the UK), selected on the basis of risk ratings used by Endsleigh Insurance, that is 1 to 6 (lower to medium risk), 7 to 13 (medium to higher risk). The first group of 47 institutions were within the lower to medium risk categories (group A); the second group of 44 institutions were in the medium to higher risk category (group B). In total 68 institutions responded with data, representing a 75% return. Of this return, 36 institutions were group A and 32 were group B. The data requested covered security pay, operational and capital costs for each of the years 1997-98, 1998-99 and 1999-2000. Total staff, security and student numbers were also requested. The results are shown in Section 1 of this report.

The same institutions were asked to comment on the usefulness of a further 17 issues that could be developed into management statistics. Useful management statistics are listed in each section of the *Security toolchest*.

Institutions were also requested to provide an analysis of the total number of reported security incidents relating to theft, criminal damage and assault. Unfortunately, only 36 institutions were able to provide these data. The results are shown in Section 1 of this report.

Annex B: Membership of steering groups and project staff

UK Value for Money Steering Group

Professor David Wallace (Chair)	Vice-Chancellor, Loughborough University
Jim Addison (resigned April 2001)	formerly Director of Estate Management, University of Birmingham
Richard Aveling	Financial Controller, University College Northampton
Professor Chris Carr	Principal and Chief Executive, St Martin's College, Lancaster
Annie Kent (resigned September 2001)	formerly Assistant Vice-Chancellor & Director of Finance, Middlesex University
John Lauwerys	Secretary and Registrar, University of Southampton
Rosalyn Marshall	Vice-Principal (Strategic Planning and Development), Queen Margaret University College, Edinburgh
James O'Kane (resigned April 2001)	Registrar, Queen's University of Belfast
Professor Peter Townsend	Pro Vice-Chancellor, University of Wales Swansea
Peter West	Secretary, University of Strathclyde

Further details on the security management study and other studies under the Value for Money Initiative are available from:

Ian Gross	Head of Internal Audit and Projects, HEFCE, Bristol
Brian Baverstock	Deputy Director of Financial Appraisal & Monitoring, SHEFC, Edinburgh
Robert Rogers	Head of Audit, HEFCW, Cardiff
Gillian James	Secretary to the UK VFM Steering Group, HEFCE, Bristol

VfM Project staff

Brian Campbell	VfM Projects Consultant
Gillian James	VfM Projects Officer

Security Project Management Committee

John Lauwerys* (Chair)	Secretary and Registrar, University of Southampton
Jim Addison*	formerly Director of Estate Management, University of Birmingham
George Blanchflower**	formerly Director of Security, University of Leeds
Bernadette Duncan**	Operations Manager, City University
Professor John Holloway	Senior Pro Vice-Chancellor, University of Leicester
Dr Ken Hopkins	Dean of Student Services, Kingston University
Dr Andy Macdonald	Director of Facilities Management, University of York
Alastair McDougall	Director of Personnel, Cardiff University
Carole Mainstone	University Secretary and Clerk to the Court, University of Westminster

Rosalyn Marshall*	Vice-Principal (Strategic Planning and Development), Queen Margaret University College, Edinburgh
David Mee	Director of Personnel, University of Central England
Tony Mitcheson	College Secretary and Clerk to Governing Body, Imperial College of Science, Technology and Medicine
Alan Naylor**	Security Services Manager, Napier University
Terry Neville	Director of Finance, University of Hertfordshire
Iain Thomson	Head of Campus Services, Buckinghamshire and Chilterns University College
Roger Williams	Head of Facilities Services, Cheltenham and Gloucester College of Higher Education

* Member of the UK VfM Steering Group

** Member of the Association of University Chief Security Officers

Annex C: Participating higher education institutions and organisations

Higher education institutions

A total of 95 universities and colleges from across the UK were involved in the study.

Expert working groups

Higher Education Funding Council for England

Anglia Polytechnic University

Aston University

University of Bath

University of Birmingham

University of Brighton

University of Bristol

Buckinghamshire Chilterns University College

University of Central England in Birmingham

Cheltenham and Gloucester College of HE

City University

Coventry University

University of Derby

University of East Anglia

University of Essex

University of Exeter

University of Greenwich

University of Hertfordshire

University of Hull

Imperial College of Science, Technology and Medicine

University of Kent at Canterbury

Kingston University

Lancaster University

Leeds Metropolitan University

University of Leicester

University of Lincolnshire and Humberside

University of Liverpool

London School of Economics

Loughborough University

University of Manchester Institute of Science and Technology

Middlesex University

University of Newcastle upon Tyne

University of Nottingham

Nottingham Trent University

University of Reading

University College of Ripon and York

Royal Holloway, University of London

University of Salford

Sheffield Hallam University

University of Southampton

Staffordshire University

University of Sunderland

University of Surrey

University of Sussex

University College London

University of York

University of Warwick

University of Westminster

University College Worcester

Scottish Higher Education Funding Council

University of Aberdeen

University of Dundee

University of Edinburgh

University of Glasgow

University of Strathclyde

Higher Education Funding Council for Wales

Cardiff University

University of Glamorgan

University of Wales, Bangor

Department for Education and Learning, Northern Ireland

Queen's University of Belfast

Involved in the study

University of Bradford

University of Cambridge

University of Central Lancashire

University College Chichester

De Montfort University

University of Durham

University of East London

Goldsmiths College, London

University of Huddersfield

Institute of Education, London

Keele University

King's College London

University of Leeds

Liverpool John Moores University

London Guildhall University

London Institute

London School of Hygiene and Tropical Medicine

University of Luton

University of Manchester

Manchester Metropolitan University

University of North London

University of Northumbria at Newcastle

Open University

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University of Oxford

Oxford Brookes University

University of Portsmouth

Queen Mary and Westfield College

St Mary's University College

University of Sheffield

South Bank University

University of Surrey Roehampton

University of Teesside

University of the West of England, Bristol

Scottish Higher Education Funding Council

Glasgow Caledonian University

Heriot-Watt University

Napier University

Queen Margaret University College, Edinburgh

Higher Education Funding Council for Wales

University of Wales, Aberystwyth

Organisations

Academic Institutions Management Services (AIMS)

Association of University Chief Security Officers (AUCSO)

Association of Heads of University Administrators (AHUA)

Association of University Directors of Estates of the United Kingdom (AUDE)

British Universities Finance Directors Group (BUFDG)

Committee of University Chairmen (CUC)

Conference of University Business Officers (CUBO)

London University Purchasing Consortium (LUPC)

Southern Universities Management Services (SUMS)

Standing Conference of Principals (SCOP)

Standing Conference of Principals Estates Group (SCOPEG)

Universities Personnel Association (UPA)

Universities Scotland (formerly COSHEP)

Universities UK (formerly CVCP)

Annex D: Good practice framework

The following recommendations also appear in the *Security toolchest* (please refer to toolchest elements 2.1 - 2.10 for further details).

Security environment

- Access cards and passes are issued to students, visitors, suppliers and contractors.
- In agreeing the security access policy the institution invites input from in-house security and safety staff, customers and, if necessary, professional advisers.
- Environmental policies are implemented on, for example, CCTV, lighting, security by design, and transport.
- The institution has established criteria for security by design for key areas of the campus.

Issues for smaller HEIs

- Formulation of a security access policy.
- Implementation of 'security by design' principles for identified campus areas and buildings.

Legislation, quality and standards

- Legislation and good practice guidelines have been incorporated in the institution's security policy and security operational manuals.
- Security arrangements enable customers' views to be canvassed and reflected within service level standards/agreements for security services.
- Security arrangements include periodic reviews to confirm that agreed service level standards have been met, and that the assessed levels of security risks and priorities in relation to core business activities were correct.
- Reporting and monitoring systems include management statistics.

Issues for smaller HEIs

- Training arrangements for security staff on changes in legislation related to security services, good practice guidance and European directives.

Insurance, assessment and management of security risks

- The institution's security strategy indicates the arrangements and processes by which the assessment of security risks is to be undertaken.
- The assessment of security risks facilitates the updating of operational programmes and financial plans for security services.
- Where in-house staff and/or external advisers undertake an assessment of security risks, the institution ensures that the arrangements and associated processes provide comprehensive and consistent findings.
- Security arrangements include periodic reviews to confirm that the assessed levels of security risk and priority in relation to core business activities were correct, and that agreed service level standards for security services have been met.

Issues for smaller HEIs

- Development of in-house expertise in assessing risk.
- Clear statements of terms and conditions for the appointment of external advisers.

Security strategy

- A formal, written strategic policy is adopted by the institution that identifies the strategic objectives to be achieved by its security arrangements.
- Effective links are established between the institution's existing academic plans, estates strategy and security plans, to ensure that the objectives for such services are co-ordinated and support other objectives identified by the institution.

Issues for smaller HEIs

- Formulation of a security strategy.
- Establishment of links between the security strategy and other existing strategic and operational documents.
- Consideration of the role and responsibilities of the senior management team (or governing body/resources committee) regarding security arrangements.

Security management structures and links with other services

- Provision of management, staff and professional services is based on an agreed service level requirement and is subject to periodic reviews.
- Identifying component costs within security services helps to assess the performance and cost-effectiveness of existing arrangements.
- Staff and management training arrangements ensure that security services may be carried out safely, comply with legislation, and deliver value for money to the institution.

Issues for smaller HEIs

- Co-ordination of security and other support services.

Raising awareness of crime, and crime prevention

- Adoption of a multi-agency approach.
- Development of local partnerships within the community.
- Security arrangements take account of customers' views and reflect these within service delivery statements.

Issues for smaller HEIs

- Use of customer satisfaction surveys.
- Liaison arrangements for security services.

Procurement

- Procurement arrangements demonstrate that value for money can be delivered for agreed levels of service delivery for security services.
- Procurement arrangements for agreed security needs can be consolidated, to achieve economies of scale for the institution and individual departments.
- Computerised procurement systems facilitate the reporting and management of security contracts; and support periodic management reviews of service, cost, delivery and performance.
- Procurement arrangements for security equipment and services are documented, and comply with UK and EU legislation.

Issues for smaller HEIs

- Review of purchasing and contract arrangements.
- Assessment of contracts and costs against market conditions.

Staff training and development

- Staff and management training arrangements are in place so that security services can be carried out safely, comply with legislation, and deliver value for money. For further details please see *Rewarding and developing staff in higher education: a guide to good practice in setting HR strategies* (HEFCE 02/14, March 2001).

Issues for smaller HEIs

- Review of security staff induction and training arrangements.
- Development of management skills relating to the assessment of security contracts.

Balancing technology with other security measures and resources

- Planning systems, such as computerised databases (or spreadsheets), facilitate updating and manipulation of data following an assessment of risk and the reassessment of security priorities.
- Operational security programmes are costed to identify the financial resource requirements.

Issues for smaller HEIs

- Introduction of operational security programmes.

Funding and service performance

- Funded and standards-led levels of service delivery are established for security arrangements.
- Budgets are based on co-ordinated and costed security plans and programmes.
- The implications of deferring or not funding security services can be ascertained, using life-cycle cost-in-use techniques. For further details please see *Whole life costing: a good practice guide* (Joint Procurement Policy and Strategy Group, August 1998).

- Computerised financial planning systems in the security department can help staff to:
  - update and manipulate data following the assessment of risk
  - confirm and reassess security priorities and other planned changes
  - make data compatible with and transferable to other systems, as necessary.
- Reporting and monitoring systems include management statistics for security services, and the identification of life-cycle costs funded by security-related capital and revenue expenditure.
- The review and monitoring process is based upon reported performance against quality, quantity, time and price.

Issues for smaller HEIs

- Security plans and programmes.
- Identification of management statistics.
- Review of budget arrangements for security services.

List of abbreviations

AUCSO	Association of University Chief Security Officers
BCS	British Crime Survey
CCTV	Closed circuit television
FE	Further education
FM	Facilities management
HE	Higher education
HEFCE	Higher Education Funding Council for England
HEI	Higher education institution
HR	Human resources
ID	Identity
IT	Information technology
JPPSG	Joint Procurement Policy and Strategy Group
SITO	Security Industry Training Organisation
SLA	Service level agreement
SLS	Service level standards
VfM	Value for money

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